

FORM PTO-1390 (Modified)  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES**  
**DESIGNATED/ELECTED OFFICE (DO/EO/US)**  
**CONCERNING A FILING UNDER 35 U.S.C. 371**

18524

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

Unassigned **10/518564**

INTERNATIONAL APPLICATION NO.

**PCT/JP2003/007572**

INTERNATIONAL FILING DATE

**13 June 2003 (13.06.2003)**

PRIORITY DATE CLAIMED

**20 June 2002 (20.06.2002)**

TITLE OF INVENTION

**ARRAY ANTENNA RECEIVER DEVICE**

APPLICANT(S) FOR DO/EO/US

**Tomohiro Azuma**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:


1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 20 below concern document(s) or information included:**

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV 213895728 US**
23. ☒ Other items or information:

**Nine (9) sheets of drawings****Assignee: NEC Corporation of Tokyo, Japan**

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) <div style="font-size: 2em; font-weight: bold; margin-left: 100px;">10/518564</div> <div style="margin-left: 100px;">Unassigned</div>		INTERNATIONAL APPLICATION NO. <div style="text-align: center; font-weight: bold;">PCT/JP2003/007572</div>		ATTORNEY'S DOCKET NUMBER <div style="text-align: center; font-weight: bold;">18524</div>													
<div style="border: 1px solid black; padding: 5px;">24. The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b> <div style="margin-left: 20px;"><input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO . . . . . <b>\$1080.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO . . . . . <b>\$920.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . . <b>\$770.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) . . . . . <b>\$730.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) . . . . . <b>\$100.00</b></div><div style="text-align: right; margin-top: 10px;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div></div>				<div style="border: 1px solid black; padding: 5px;"><b>CALCULATIONS PTO USE ONLY</b>  <div style="border: 1px solid black; height: 100px; width: 100%;"></div></div>													
<div style="border: 1px solid black; padding: 5px;">Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).</div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$130.00</div></div>													
<table border="1" style="width:100%; border-collapse: collapse;"><thead><tr><th style="width:15%;">CLAIMS</th><th style="width:25%;">NUMBER FILED</th><th style="width:25%;">NUMBER EXTRA</th><th style="width:15%;">RATE</th></tr></thead><tbody><tr><td>Total claims</td><td>* 14 - 20 =</td><td>0</td><td>x \$18.00</td></tr><tr><td>Independent claims</td><td>* 4 - 3 =</td><td>1</td><td>x \$200.00</td></tr></tbody></table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	* 14 - 20 =	0	x \$18.00	Independent claims	* 4 - 3 =	1	x \$200.00	<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$0.00</div></div> <div style="border: 1px solid black; padding: 5px;">Independent claims</div> <div style="border: 1px solid black; padding: 5px;">Multiple Dependent Claims (check if applicable). <input type="checkbox"/></div> <div style="border: 1px solid black; padding: 5px;"><div style="text-align: right; font-weight: bold;">\$0.00</div></div>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE														
Total claims	* 14 - 20 =	0	x \$18.00														
Independent claims	* 4 - 3 =	1	x \$200.00														
<div style="border: 1px solid black; padding: 5px;"><div style="text-align: right; font-weight: bold;">TOTAL OF ABOVE CALCULATIONS =</div></div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$1,330.00</div></div>													
<div style="border: 1px solid black; padding: 5px;"><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.</div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$0.00</div></div>													
<div style="border: 1px solid black; padding: 5px;"><div style="text-align: right; font-weight: bold;">SUBTOTAL =</div></div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$1,330.00</div></div>													
<div style="border: 1px solid black; padding: 5px;">Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).</div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$0.00</div></div>													
<div style="border: 1px solid black; padding: 5px;"><div style="text-align: right; font-weight: bold;">TOTAL NATIONAL FEE =</div></div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$1,330.00</div></div>													
<div style="border: 1px solid black; padding: 5px;">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/></div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$0.00</div></div>													
<div style="border: 1px solid black; padding: 5px;"><div style="text-align: right; font-weight: bold;">TOTAL FEES ENCLOSED =</div></div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">\$1,330.00</div></div>													
<div style="border: 1px solid black; padding: 5px;">* CLAIM CALCULATION BASED ON CLAIMS AS AMENDED BY PRELIMINARY AMENDMENT BEING FILED CONCURRENTLY HEREWITH.</div>				<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">Amount to be: refunded \$</div></div> <div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; height: 30px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">charged \$</div></div>													
<div style="border: 1px solid black; padding: 5px;">a. <input checked="" type="checkbox"/> A check in the amount of <b>\$1,330.00</b> to cover the above fees is enclosed.</div> <div style="border: 1px solid black; padding: 5px;">b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.</div> <div style="border: 1px solid black; padding: 5px;">c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <b>19-1013/SSMP</b></div> <div style="border: 1px solid black; padding: 5px;">d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</div>																	
<div style="border: 1px solid black; padding: 5px;"><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</div>																	
<div style="border: 1px solid black; padding: 5px;"><b>SEND ALL CORRESPONDENCE TO:</b></div>																	
<div style="border: 1px solid black; padding: 5px;"><div style="border: 1px solid black; padding: 5px;"><div>Paul J. Essato, Jr. Registration No. 30,749 SCULLY, SCOTT, MURPHY &amp; PRESSER 400 Garden City Plaza, Suite 300 Garden City, New York 11530 (516) 742-4343  PJE/ej</div></div><div style="margin-left: 20px;"><div style="border: 1px solid black; height: 100px; width: 100%;"></div><div style="text-align: right; font-weight: bold;">SIGNATURE</div><div style="margin-top: 10px;">Paul J. Esatto, Jr.</div><div style="text-align: right; font-weight: bold;">NAME</div><div style="margin-top: 10px;">30,749</div><div style="text-align: right; font-weight: bold;">REGISTRATION NUMBER</div><div style="margin-top: 10px;">December 20, 2004</div><div style="text-align: right; font-weight: bold;">DATE</div></div></div>																	

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): Tomohiro Azuma			Docket No. 18524
Serial No. Unassigned	Filing Date Herewith	Examiner Unassigned	Group Art Unit Unassigned
Invention: <b>ARRAY ANTENNA RECEIVER DEVICE</b>			
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; min-height: 40px; margin: 10px 0;">           New U.S. Patent Application Under 35 U.S.C. 371         </div> <p style="text-align: center; font-size: small;">(Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>December 20, 2004</u></p> <p style="text-align: center; font-size: x-small;">(Date)</p> <div style="text-align: right; margin-top: 20px;"> <u>Paul J. Esatto, Jr.</u>  <small>(Typed or Printed Name of Person Mailing Correspondence)</small>    <small>(Signature of Person Mailing Correspondence)</small>  <u>EV 213895728 US</u>  <small>("Express Mail" Mailing Label Number)</small> </div>			
<p><b>Note: Each paper must have its own certificate of mailing.</b></p>			